

FORM PTO-1390
(REV. 10-2003)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER
ABB10010P02230US

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (IF KNOWN)
10/382289

INTERNATIONAL APPLICATION NO.
PCT/EP2004/014118

INTERNATIONAL FILING DATE
December 10, 2004

PRIORITY DATE CLAIMED
December 11, 2003

TITLE OF APPLICATION: Keto Lactam Compounds and Use Thereof

APPLICANT(S) FOR DO/EO/US: Wilfried Lubisch et al.


Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected. (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - ☒ is attached hereto
 - ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated to the International Bureau
 - c. ☐ have not been made; however, the time for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (unexecuted)
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☒ An Application Data Sheet.
15. ☐ A substitute specification.
16. ☐ A power or attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825.
18. ☒ A second copy of the published international application under 35 U.S.C. (154(d)(4).
19. ☒ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items of information.

~~A copy of the Int'l. application as published (WO/2005/056546 A1);~~ Form PCT/ISA/210; Form PCT/IB/301; Form PCT/IB/304; Form PCT/IB/308 (First Notice) & (Second Notice).

U.S. APPLICATION NO. 10/582285		INTERNATIONAL APPLICATION NO. PCT/EP2004/014118		ATTORNEY DOCKET NUMBER ABB10010P02230US	
21. The following fees are submitted				Applicant Use	Office Use Only
<input checked="" type="checkbox"/>	a)	Basic national fee	\$300.00	\$ 300.00	
<input checked="" type="checkbox"/>	b)	Examination fee	\$200.00	\$ 200.00	
<input checked="" type="checkbox"/>	c)	Search fee	\$500.00	\$ 500.00	
TOTAL OF ABOVE CALCULATIONS =			\$1,000.00	\$ 1,000.00	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250.00 for each additional 50 sheets of paper or fraction thereof					
Total Sheets	Extra Sheets	Number of Additional 50 or fraction thereof (round up to a whole number)	Rate		
88- 100 =	-/50	0	x \$250.00	\$ 0	
Surcharge of \$130.00 for furnishing oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total Claims	28 -20 =	8	x \$50.00	\$ 400.00	
Independent claims	2 - 3 =	0	x \$200.00	\$ 0	
Multiple Dependent Claim(s) (if applicable)			+ \$360.00	\$	
TOTAL OF ABOVE CALCULATIONS =				\$	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	
SUBTOTAL =				\$	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE				\$ 1,400.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$	
TOTAL FEES ENCLOSED =				\$ 1,400.00	
Amount to be refunded:					\$
Amount to be charged:					\$
a. <input checked="" type="checkbox"/> A check in the amount of \$1,400.00 to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge Deposit Account No. 23-0785 in the amount of _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23-0785. A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.					
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
Send Correspondence to:			 Martin L. Katz, Reg. No. 25,011		
CUSTOMER NUMBER: 32116 WOOD, PHILLIPS, KATZ, CLARK & MORTIMER Citigroup Center, Suite 3800 500 West Madison Street Chicago, Illinois 60661-2511 Telephone: (312) 876-1800 Facsimile: (312) 876-2020			June 9, 2006 Date		

Attorney Docket No.: ABB10010P2230US
Applicant: Wilfried Lubisch et al.
For: Keto Lactam Compounds and Use Thereof
Serial No.: Unassigned
Filing Date: Herewith

CERTIFICATE OF MAILING BY EXPRESS MAIL

I hereby certify that the enclosed **National Stage Filing** and any other documents referred to as enclosed herein, are being deposited in an envelope with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and addressed to:
Commissioner for Patents, P.O. Box 1450, Alexandria Virginia 22313-1450.

Express Mail Label No.: 577694364

Date of Deposit: June 9, 2006

Typed/Printed
Name of Person Signing: Stephanie Frain

Signature:

